



DEPARTMENT OF CORRECTIONS POLICIES AND PROCEDURES

Policy No.: DOC 1.3.45	Subject: PERFORMANCE APPRAISAL
Chapter 1: ADMINISTRATION AND MANAGEMENT	Page 1 of 4, plus attachment
Section 3: Personnel	Revision Date:
Signature: /s/ by Director Rick Day 2/5/98	Effective Date: June 1, 1998

I. POLICY:

It is the policy of the Montana Department of Corrections to conduct employee performance pre-appraisals, annual and other appraisals to inform employees of job expectations, duties and standards, and to evaluate and inform employees regarding their job performance.

II. AUTHORITY:

M.O.M. 3-0115, Performance Appraisal
2-18-101, MCA. Definitions

III. DEFINITIONS:

Annual Appraisal means the work performance review and rating of a permanent employee within a one-year period.

Appraiser means an employee's immediate supervisor or person with the responsibility for assigning, reviewing and evaluating the employee's work.

Performance Standard means an acceptable level of performance for a specific duty/responsibility, job-related criteria for measurement, specific to the duties and responsibility of the position such as a product to be produced (quantity and quality), result to be achieved or other consequence to be brought about or specific job behavior to be displayed. Standards may not be expressed as personal traits.

Pre-appraisal means a discussion with an employee in which the employee is informed of the duties, responsibilities and standards of work which will be reviewed and rated.

Probationary Appraisal means the work performance review and rating of an employee who has not completed a trial or probationary period.

Promotion/Demotion Appraisal means the work performance review and rating that occurs before a promotion or demotions takes place.

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IV. PROCEDURES:

A. Pre-Appraisals

1. A pre-appraisal interview will be conducted within the first thirty days of employment for employees new to State employment or employees hired or assigned to a new position.
2. The pre-appraisal interview will be scheduled in advance and be face to face.
3. The supervisor and employee will have written copies of the pre-appraisal form which lists the essential/critical duties of the position and will review each duty and job expectation.
4. At the conclusion of the interview, the employee and supervisor will sign and date the pre-appraisal forms. One copy will be filed in the personnel file and one copy will be provided to the employee.

B. Probationary Appraisal

Probationary/trial appraisal interviews will be conducted no later than six months after the date of hire or position change.

C. Annual Appraisal

Annual appraisal interviews will be conducted no later than one year from the date of the Probationary/Trial Appraisal.

D. Promotion or Demotion Appraisal

Whenever an employee of the Department is promoted, demoted or assigned a new supervisor, the prior supervisor shall conduct an appraisal, and the new supervisor shall conduct a pre-appraisal.

E. Notices

The Personnel Unit or designee will give the supervisor and employee thirty days notice of the pending appraisal prior to the end of the probationary, annual or other appraisal period.

The supervisor is required to schedule the interview date and time with the employee within the thirty-day period.

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F. Interview Requirements

Appraisals must be conducted in person. Supervisors are not permitted to give employees the appraisal for review, comment and signature without the personal interview. Appraisal interviews will be conducted in a place which is private and no telephone or other interruptions are allowed except in a major emergency.

G. Ratings

Appraisers shall evaluate employee performance on a standard instrument determined by the facility/program. Facilities/programs must use one of following rating systems:

1. A rating scale with a minimum of three ratings. Ratings other than standard must be accompanied with written comments; or
2. an essay evaluation on each job standard which must, at a minimum, communicate the level of performance achieved.

H. Agency Review

The performance standards, written appraisal, and any employee rebuttal will be reviewed by the supervisor's immediate supervisor for compliance with this policy. Supervisors are encouraged to review a completed performance appraisal with their immediate supervisor prior to conducting the appraisal with the employee.

After the performance appraisal has been conducted with the employee, the reviewer may not change the ratings or written evaluation unless the ratings or written evaluation are out of compliance with the statute, M.O.M. or agency policies.

I. Employee Review

Employees are required to sign the written appraisal document indicating their review. If an employee refuses to sign, a supervisory witness (other than the appraiser) should sign and date the form. The employee will be provided a copy of the completed appraisal.

J. Rebuttal

If the employee disagrees with the appraisal, the employee has a right to submit, within ten working days, a written rebuttal to be attached to the document.

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K. Grievance

The employee may grieve adverse employment actions taken as a result of the performance appraisal in accordance with M.O.M. Grievances, 3-0125 and DOC 1.3.36, Employee Grievances.

1. The following procedural errors are grievable:
 - a. Failure of the appraiser to inform the employee of the duties and responsibilities to be assessed;
 - b. Failure of the appraiser to make written comments explaining other than standard ratings;
 - c. Failure of the appraiser to provide the employee with an opportunity to review ratings and supporting comments, when completed;
 - e. Failure of the appraiser to advise the employee of the right to submit a written rebuttal to be attached to the written appraisal (the notice of the right to file a rebuttal on the form is sufficient notice); and
 - f. Failure to make available to the employee a copy of the written appraisal and any reviewer's comments.
2. No employee may file a grievance based on the content of the duties, responsibilities, standards, ratings or comments of a performance appraisal.
3. Employees who have not completed the probationary period may not grieve any aspect of the appraisal.

L. Records

A copy of the performance appraisal and rebuttal comments, if any, shall be permanently retained in the employee's personnel file. Performance appraisal information should be kept confidential by supervisors except where necessary:

1. In work-related discussions with superiors or peer supervisory staff;
2. In work-related discussions with prospective employers of the employee (when other than state agencies, this must be authorized by the employee); and
3. When the disclosure is required in administrative or court proceedings.

V. CLOSING:

Questions concerning this policy shall be directed to the immediate supervisor.

DEPARTMENT OF CORRECTIONS PERFORMANCE APPRAISAL FORM

EMPLOYEE NAME: POSITION TITLE: EVALUATION PERIOD: TYPE OF EVALUATION:	SSN #: POSITION #: CLASS CODE: DATE:
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GENERAL INSTRUCTIONS:

- * Evaluator indicates **Exceeds Standard**, **Meets the Standard** or **Below Standard** in each area.
- * Section A and B are required to be completed for all employees. Section B is completed for supervisory employees.

SECTION A: FOR ALL EMPLOYEES

1. **ATTENDANCE:** Follows work schedule.

COMMENTS: (No rating required)

2. **DEPENDABILITY:** Employee can be counted on to follow instructions and meet deadlines.

COMMENTS:

3. **FLEXIBILITY:** Adjusts willingly to changes in job requirements and schedule.

COMMENTS:

4. **COMMUNICATION:** Communicates effectively verbally and in writing (refer to DOC 1.3.1).

COMMENTS:

5. **COOPERATION:** Works positively with others to meet individual, team and organizational goals (refer to DOC 1.3.1).

COMMENTS:

6. **CREATIVITY:** Thinks in broad perspective, anticipates problems, and conceives new ideas and techniques. Develops, explores and shares innovative methods to improve program operation.

I have reviewed this page of the evaluation, have had an opportunity to discuss any questions with the appraiser, and understand I may submit a written rebuttal within 10 days of this date.

EMPLOYEE SIGNATURE

DATE

SUPERVISOR SIGNATURE

DATE

COMMENTS:

SECTION B: FOR SUPERVISORY EMPLOYEES ONLY

7. **LEADERSHIP:** Leads others in a positive, energetic and supportive manner.

COMMENTS:

SECTION C: JOBS, EXPECTATIONS AND/OR GOALS

I.

1.

COMMENTS:

2.

COMMENTS:

3.

COMMENTS:

SECTION D: SUPERVISOR'S NARRATIVE (optional)

SECTION E: EMPLOYEE'S COMMENTS

_____ I agree with this evaluation (comments optional)

_____ I do not agree with this evaluation and comments are provided below:

COMMENTS:

I have reviewed this page of the evaluation, have had an opportunity to discuss any questions with the appraiser, and understand I may submit a written rebuttal within 10 days of this date.

EMPLOYEE SIGNATURE

DATE

SUPERVISOR SIGNATURE

DATE